



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Phillip Koh-Kwe Hsu, et al. Group Art Unit: 2152  
Serial No.: 09/687,892 Examiner: Jeevon Jones  
Filed: October 13, 2000 Docket No. 4797-48  
For: **SYSTEM AND METHOD FOR DELIVERING A  
FINANCIAL MESSAGE**

*#5 Power*  
*Att*  
*J. Jones*  
*11/27*

55 Madison Avenue  
Morristown, NJ 07960  
September 28, 2001

Assistant Commissioner for Patents  
Washington, D.C. 20231

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**POWER OF ATTORNEY BY ASSIGNEE OF ENTIRE INTEREST**

Sir:

UBS PaineWebber Inc., a Delaware corporation, as assignee of record of the entire interest of the above patent application, U.S. Serial No. 09/687,892, hereby revokes all power of attorney previously given.

The following attorneys are hereby appointed with full power of substitution and revocation to prosecute and transact all business in the Patent and Trademark Office connected therewith: Leslie Gladstone Restaino, Reg. No. 38,893; Seth H. Ostrow, Reg. No. 37,410; Frank J. DeRosa, Reg. No. 26,543 and Ralph F. Hoppin, Reg. No. 38,494 of the firm Brown Raysman Millstein Felder & Steiner, LLP, 55 Madison Avenue, Suite 400, Morristown, New Jersey 07960, (973) 285-3222.

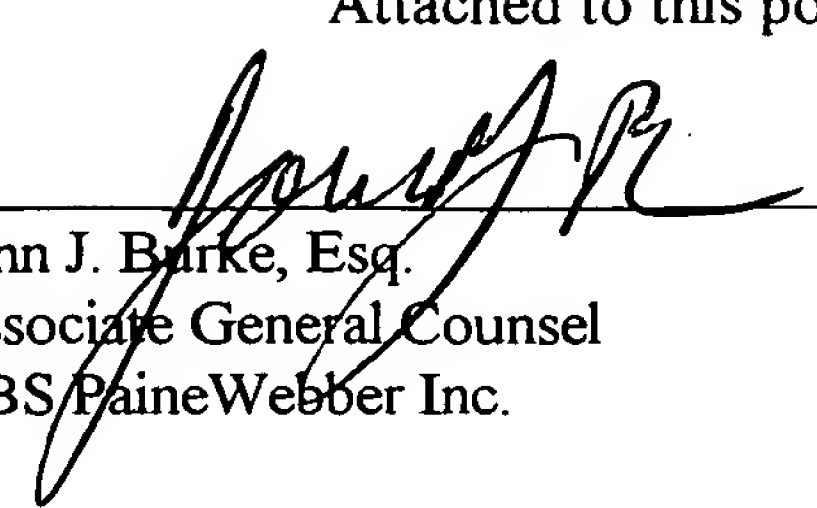
Direct all correspondence to:

Leslie Gladstone Restaino, Esq.  
Brown Raysman Millstein Felder & Steiner LLP  
55 Madison Avenue  
Morristown, NJ 07960

Direct all telephone calls to (973) 285-3242.

The assignment of U.S. Serial No. 09/687,892 to PaineWebber Incorporated was recorded in the U.S. Patent and Trademark Office on October 13, 2000 at Reel 011281, Frame 0446.

Attached to this power of attorney is a Statement under 37 C.F.R. §3.73.

  
\_\_\_\_\_  
John J. Burke, Esq.  
Associate General Counsel  
UBS PaineWebber Inc.

9/28/01  
\_\_\_\_\_  
Date



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Phillip Koh-Kwe Hsu, et al. Group Art Unit: 2152  
Serial No.: 09/687,892 Examiner: Jeevon Jones  
Filed: October 13, 2000 Docket No. 4797-48  
For: **SYSTEM AND METHOD FOR DELIVERING A FINANCIAL MESSAGE**

55 Madison Avenue  
Morristown, NJ 07960  
September 7, 2001

Assistant Commissioner for Patents  
Box Assignments  
Washington, D.C. 20231

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**STATEMENT UNDER 37 C.F.R. §3.73(b)**

Sir or Madam:

UBS PaineWebber, a Delaware corporation, states that it is:

1. [ ☒ ] the assignee of the entire right, title, and interest; or
2. [ ☐ ] an assignee of an undivided part interest in the above-identified patent application by virtue of either:
  - A. [ ☐ ] an assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel , Frame , or for which a copy thereof is attached.

OR

- B. [ ☐ ] a chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: to:  
The document was recorded in the Patent and Trademark Office at Reel , Frame , or for which a copy thereof is attached.

2. From: to:  
The document was recorded in the Patent and Trademark Office at Reel , Frame , or for which a copy thereof is attached.

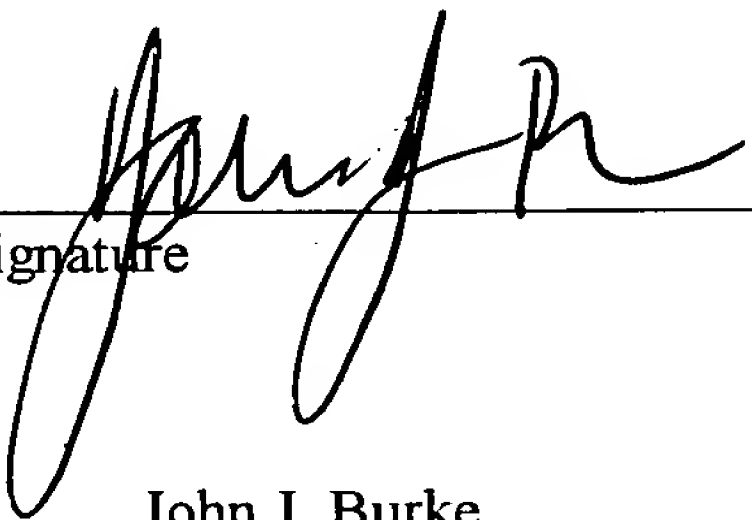
[       ] Additional documents in the chain of title are listed on a supplemental sheet.

[    ✓    ] Copies of assignments or other documents in the chain of title are attached.

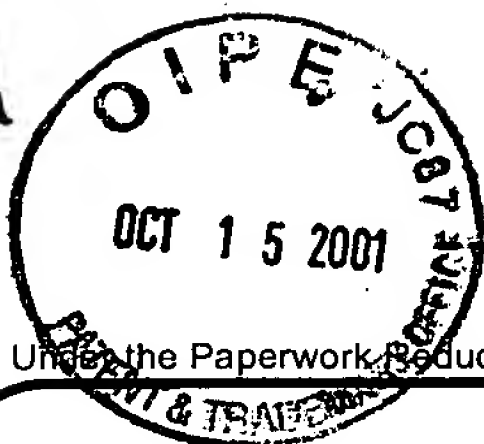
The above-mentioned assignee hereby further states that it has all rights to take action in this matter.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

Date: 9/10/01

  
Signature  
John J. Burke  
Name

Associate General Counsel  
Title



Gay 2152

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	<b>Application Number</b>	09/687,892	
	<b>Filing Date</b>	October 13, 2000	
	<b>First Named Inventor</b>	Phillip Koh-Kwe Hsu, et al.	
	<b>Group Art Unit</b>	2152	
	<b>Examiner Name</b>	Jeevon Jones	
<b>Total Number of Pages in This Submission</b>	11	<b>Attorney Docket Number</b>	4797-48

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Statement under 37 C.F.R. §3.73(b); Declaration of ownership pursuant to 37 C.F.R. §2.20; Certificate of amendment from Delaware Secretary of State; Incumbency certificate; Request to change attorney docket number; Return receipt postcard.
<b>Remarks</b>		

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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Leslie Gladstone Restaino, Reg. No. 38,893
Signature	<i>Leslie S Restaino</i>
Date	10/10/2001

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: <span style="border: 1px solid black; padding: 2px;">October 10, 2001</span>			
Typed or printed name	Joyce Sapjeta		
Signature	<i>Joyce Sapjeta</i>	Date	10/10/2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



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**DECLARATION OF OWNERSHIP PURSUANT TO 37 CFR § 2.20**

1. I, John J. Burke, hereby declare that I am an Associate General Counsel for UBS PaineWebber Inc. ("UBS PaineWebber").

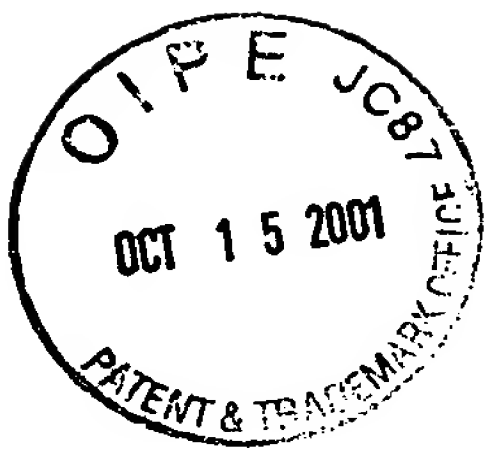
2. UBS PaineWebber was formed pursuant to a merger agreement between UBS AG ("UBS") and Paine Webber Group Inc. PaineWebber Incorporated ("PaineWebber") was a wholly owned subsidiary of Paine Webber Group Inc. UBS PaineWebber filed a Certificate of Amendment of Certificate of Incorporation, which is attached hereto, on March 5, 2001, with the Delaware Secretary of State to reflect the corporate name change.

3. UBS PaineWebber, a Delaware corporation with offices at 1200 Harbor Blvd. Weehawken, New Jersey 07087, has acquired all right, title and interest in and to all assets and liabilities of PaineWebber, including all patents, trademarks and other intellectual property of PaineWebber. A list of patent applications currently filed with the U.S. Patent Office is attached hereto as Exhibit A.

4. The undersigned being warned that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and that such willful false statements and the like may jeopardize the validity of the application or document or any registration resulting therefrom, declares that all statements made of his/her own knowledge are true; and all statements made on information and belief are believed to be true.

Dated: September 6, 2001

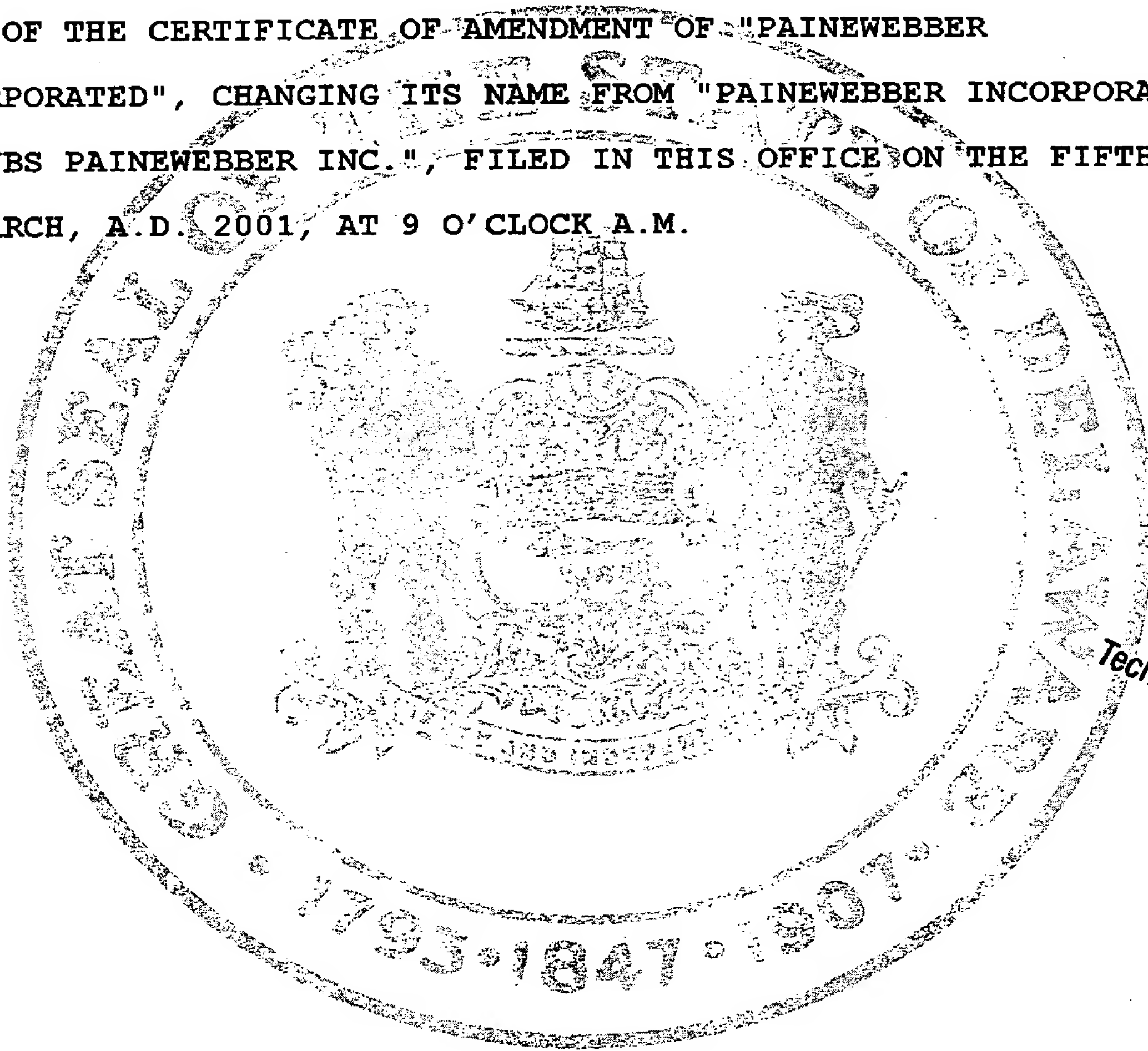
  
\_\_\_\_\_  
John J. Burke, Esq.  
Associate General Counsel



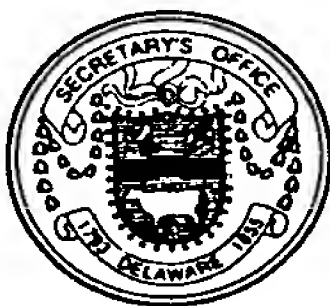
State of Delaware  
Office of the Secretary of State

PAGE 1

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF AMENDMENT OF "PAINWEBBER INCORPORATED", CHANGING ITS NAME FROM "PAINWEBBER INCORPORATED" TO "UBS PAINWEBBER INC.", FILED IN THIS OFFICE ON THE FIFTH DAY OF MARCH, A.D. 2001, AT 9 O'CLOCK A.M.



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*Harriet Smith Windsor*  
Harriet Smith Windsor, Secretary of State

AUTHENTICATION: 1245744

DATE: 07-16-01

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STATE OF DELAWARE  
SECRETARY OF STATE  
DIVISION OF CORPORATIONS  
FILED 09:00 AM 03/05/2001  
010107716 - 0719006

CERTIFICATE OF AMENDMENT OF CERTIFICATE OF INCORPORATION  
OF  
PAINEWEBBER INCORPORATED

It is hereby certified that:

1. The name of the corporation (hereinafter called the "corporation") is PaineWebber Incorporated.
2. The certificate of incorporation of the corporation is hereby amended by striking out Article I thereof and by substituting in lieu of said Article I the following new Article I:

ARTICLE I

NAME

The name of the corporation is:

UBS PaineWebber Inc.

3. The amendment of the certificate of incorporation herein certified has been duly adopted and written consent has been given in accordance with the provisions of Sections 141, 228 and 242 of the General Corporation Law of the State of Delaware.

Signed on *march 5, 2001*

By: *Geraldine L. Banyai*  
Geraldine L. Banyai, Corporate Vice President

Attest:

*Richard P. Borovoy*  
Richard P. Borovoy, Assistant Secretary

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**UBS PAINEWEBBER INC.**

**Incumbency Certificate**

I, Richard P. Borovoy, Assistant Secretary of UBS PaineWebber Inc., a Delaware corporation (the "Company"), DO HEREBY CERTIFY as follows:

The below-named person has been duly elected, has duly qualified and at all subsequent times to and including the date hereof, has been an officer of the Company, holding the office set opposite his name, and the signature below set opposite his name is his genuine signature or true facsimile thereof:

Name

Office

Signature

John J. Burke

Corporate Vice President

IN WITNESS WHEREOF I have hereunto set my hand and affixed the seal of the Corporation this 19<sup>th</sup> day of March, 2001.

  
Assistant Secretary

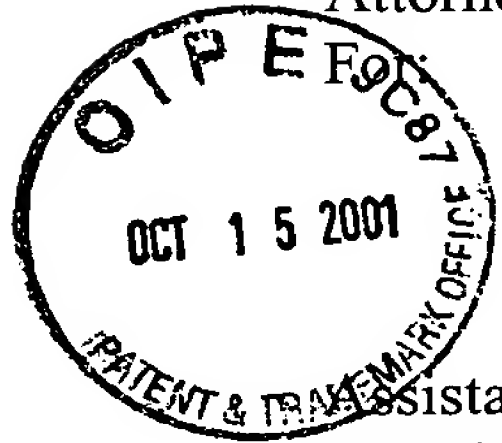
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MESSAGE**

September 13, 2001



Assistant Commissioner for Patents  
Washington, D.C. 20231

**REQUEST TO CHANGE ATTORNEY DOCKET NUMBER**

Applicants request a change of the attorney docket number in this application  
from 4034-61 to 4797-48.

Respectfully submitted,

A handwritten signature in cursive script that reads "Leslie Gladstone Restaino".

Leslie Gladstone Restaino  
Reg. No. 38,893  
Attorney for Applicants  
BROWN RAYSMAN MILLSTEIN  
FELDER & STEINER LLP  
55 Madison Avenue  
Morristown, New Jersey 07960  
(973) 285-3242

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